

**DOT FUNDED CONSTRUCTION SAMPLE FORMS**  
070109

<b>TABLE OF CONTENTS</b>	
Bid Bond	1
Subcontractor Utilization Commitment	2
Bidder's EEO Report	2
Contractor's Wage Certification form	1
Certificate of Non-segregated Facilities	1
Notification of Job Openings During Project	1
About Compliance Reports	1
Monthly Workforce Utilization Report	2
Payroll Certification Form	1
DBE as Subcontractors for Federal and/or State funded projects	1

## BID BOND

KNOW ALL MEN BY THESE PRESENT, that we, the undersigned

\_\_\_\_\_ as Principal; and \_\_\_\_\_

\_\_\_\_\_ as Surety, are hereby held and firmly bound unto the City of Hartford in the

penal sum of \_\_\_\_\_ for the payment of which, well and truly to be made, we hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns.

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2009.

The condition of the above obligation is such that where as the Principal has submitted to the City of Hartford a certain Bid, attached hereto, and hereby made a part hereof, to enter into a contract in writing, for the

\_\_\_\_\_  
NOW, THEREFORE,

- (a) If said bid shall be rejected, or, on the other hand,
- (b) If said bid shall be accepted and the Principal shall execute and deliver a contract in the form of Contract attached thereto (properly completed in accordance with said Bid) and shall furnish a bond for his faithful performance of said Contract, and shall in all other respects perform the agreement created by the acceptance of said Bid.

Then, this obligation shall be void; otherwise the same shall remain in force and effect, it being expressly understood and agreed that the liability of the surety of any and all claims hereunder shall, in no event, exceed the penal amount of this obligation as herein stated.

The Surety, for value received, hereby stipulates and agrees that the obligations of the said Surety and its bond shall be in no way impaired or affected by any extension of the time within which the City may accept such Bid; and said Surety does hereby waive notice of any such extension.

IN WITNESS WHEREOF, the principal and the Surety have hereunto set their hands and seals and such of them are corporations have caused their corporate seals to be hereto affixed and these presents to be signed by their proper officers, the day and year first set forth above.

\_\_\_\_\_  
Principal  
By \_\_\_\_\_  
(Seal)

Signed in Presence of:

\_\_\_\_\_

\_\_\_\_\_

Signed in presence of:

\_\_\_\_\_  
Surety  
By \_\_\_\_\_  
(Seal)

\_\_\_\_\_

\_\_\_\_\_

## ***SUBCONTRACTOR UTILIZATION COMMITMENT FORM***

Bidder agrees to subcontract the portion of the work stipulated in the Construction Contract Summary Sheet to minority businesses. The full name and address of business together with the nature of the work and subcontract value must be provided below for each subcontractor within 14 days of the bid opening. A copy of the contract between the bidder and the subcontractor will be required prior to award of the contract.

### ***BASE BID***

Trade or Nature of Work	Business Name	DBE? √	Address	Subcontract \$ Value
TOTAL SUBCONTRACT VALUE ⇒				
TOTAL DBE SUBCONTRACT VALUE ⇒				

***Subcontract % to total project*** \_\_\_\_\_ %

***DBE Subcontract % to total project*** \_\_\_\_\_ %

Subcontractor Utilization Commitment (Cont)

**ALTERNATE #** \_\_\_\_\_

Trade or Nature of Work	Business Name	DBE? √	Address	Subcontract \$ Value
TOTAL SUBCONTRACT VALUE ⇒				
TOTAL DBE SUBCONTRACT VALUE ⇒				

**Subcontract % to total Alternate work** \_\_\_\_\_ %

**MBE Subcontract % to total Alternate work** \_\_\_\_\_ %

**ALTERNATE #** \_\_\_\_\_

Trade or Nature of Work	Business Name	DBE? √	Address	Subcontract \$ Value
TOTAL SUBCONTRACT VALUE ⇒				
TOTAL MBE SUBCONTRACT VALUE ⇒				

**Subcontract % to total Alternate work** \_\_\_\_\_ %

**DBE Subcontract % to total Alternate work** \_\_\_\_\_ %

---

**Subcontract % to total project if all alternates are awarded** \_\_\_\_\_ %

**DBE Subcontract % to total project if all alternates are awarded** \_\_\_\_\_ %



**PART IV – STATISTICS** – Employment at bidder’s location (as shown on bid submittal). In lieu of completing this section, bidder may submit copy of its most recent Federal EEO-1 report for the reporting location or a copy of its consolidated report for the total organization, if filed within the last year.

EMPLOYMENT FIGURES WERE OBTAINED FROM <input type="checkbox"/> Visual Check <input type="checkbox"/> Employment Record <input type="checkbox"/> Other								CLOSING DATE OF REPORT PERIOD				
JOB CATEGORIES	OVERALL TOTALS (Sum of all columns A-E Male & Female)	A WHITE (Not of Hispanic Origin)		B BLACK (Not of Hispanic Origin)		C HISPANIC		D ASIAN or Pacific Islander		E AMERICAN INDIAN or ALASKAN NATIVE		
Officials and Managers		Male	Female	Male	Female	Male	Female	Male	Female	Female	Male	
Professionals												
Technicians												
Sales Workers												
Office and Clerical												
Craft Workers (Semi-Skilled)												
Operatives (Semi-Skilled)												
Laborers (Unskilled)												
Service Workers												
TOTALS ABOVE												
TOTALS ONE YEAR AGO												
ON THE JOB TRAINEES (Enter figures for the same categories as shown above)												
Apprentices												
Trainees												

### HARTFORD AFFIRMATIVE ACTION PLAN

Contractor agree to:

- a minimum of 15% of the total project hours by trade shall be allocated to minority workers.
- a goal of 50% of the total project hours by trade allocated to minority workers.
- a Hartford resident employment goal of 30% by trade.

The above EEO Report, together with the Monthly Employment Utilization report submitted by Contractor will be used to determine compliance with this Affirmative Action Plan. Contractor understands and agrees that its failure to achieve and maintain the minimum minority participation stated herein will be considered a breach of contract and subject to such remedies as proved by the law.

### AFFIDAVIT

Contractor hereby certify that all of the information contained in this EEO report is true and correct and that it will provide the City with verification upon request. Contractor further certifies that neither it nor its subcontractors will discriminate against any employee or applicant with respect to his/her hire, tenure, term, conditions or privileges of employment, because of his/her race, color, religion, national origin, age, sex, physical handicap, mental disability or sexual preference. Contractor understands and agrees to the requirements of the Hartford Affirmative Action Plan and will undertake whatever recruitment, training and apprenticeship programs are necessary to affect an acceptable level of minority and women employees in the shortest time frame possible.

SIGNATURE	TITLE	DATE SIGNED	TELEPHONE NO. (include area code)
X			
TYPE OR PRINTED NAME			

**CONTRACTOR'S WAGE CERTIFICATION FORM**

I, \_\_\_\_\_ of \_\_\_\_\_

**Officer, Owner, Authorized Rep.**

**Company Name**

do hereby certify that the \_\_\_\_\_

Company Name

Street

City

and all of its subcontractors will pay all workers on the

\_\_\_\_\_  
Project Name and Number

\_\_\_\_\_  
Street and City

the federal prevailing wages as listed in the General Wage Decision and any modifications thereto, required for such project.

\_\_\_\_\_  
Signed

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

**Submit with bid proposal.**



## **CERTIFICATION OF NONSEGREGATED FACILITIES**

Contractor certifies that it does not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not permit its employees to perform their services at any location under its control, where segregated facilities are maintained. It certifies further that it will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it will not permit its employees to perform their service at any location, under its control, where segregated facilities are maintained. Contractor agrees that a breach of this Certification is violation of the Equal Opportunity Clause of this contract. As used in this Certification, the terms "segregated facilities" means any waiting rooms, work areas, restrooms, and wash rooms, restaurants, and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation and housing facilities provided for employees which are segregated by explicit directive or are, in fact, segregated on the basis of race, creed, color, age, national origin or physical or mental handicap, religion and sexual orientation because of habit, local custom otherwise. Contractor further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) it will obtain identical certifications from proposed Subcontractors prior to award of subcontracts, that it will retain such certifications in its files.

---

(Contractor)

---

(Authorized Signature)

---

(Title)

---

(Date)

**CONTRACTORS AGREEMENT TO NOTIFY CITY OF HARTFORD,  
OFFICE OF HUMAN RELATIONS  
OF ALL JOB OPENINGS OCCURING DURING PENDACY OF THIS PROJECT**

**BIDTITLE**

**HARTFORD, CONNECTICUT**

**RFR # BIDNO**

**CONTRACT NO. CONTRNO**

My organization understands and agrees that failure to meet the requirements of the City of Hartford's Affirmative Action Program as mandated through Federal Regulations or Municipal Ordinance, may preclude such organization from providing goods and/or services to the City of Hartford through contractual agreement. The organization further understands and agrees to review and monitoring procedures as mandated by Federal Regulations or Municipal Code in regard to the determination if such organization is complying therewith. This agreement will be deemed a part of any contractual agreement entered into between the City of Hartford and the above named organization.

The organization understands and agrees that for employment openings located in the Hartford Labor Market Area it must advise the City of Hartford, Office of Human Relations in writing as to all employment opportunities as they become available.

Indicate jobs that are currently vacant or anticipated to be unfilled during the period of Certification. Completion of this form in no way alleviates the Contractor's ongoing responsibility to notify the City of Hartford, Office of Human Relations of job vacancies as they become available for the Contractor or any of the Contractor's Sub-Contracts.

Upon identification of currently vacant or anticipated jobs, the City of Hartford, Office of Human Relations will work with the Contractor in order to help the Contractor identify qualified minority and female applicants.

**SUGGESTED FORMAT**

Contact Person: \_\_\_\_\_ Telephone: \_\_\_\_\_

Number of Positions Available under this Job Classification: \_\_\_\_\_

Position: \_\_\_\_\_ Salary: \$ \_\_\_\_\_

Qualifications: \_\_\_\_\_

\_\_\_\_\_

Duties: \_\_\_\_\_

\_\_\_\_\_

Opening Date: \_\_\_\_\_ Closing Date: \_\_\_\_\_

## **About Compliance Reports -**

1. Each contractor having a contract covered by these provisions shall file and shall cause each of his subcontractors to file Compliance reports with the Executive Director of the Human Relations Office in his/her capacity as the City's Contract Compliance Officer. Compliance Reports shall be filed within such time and shall contain such information as to the practices, policies, programs, employment policies, and employment statistics of the contractor and each subcontractor, and shall be in such form as the Human Relations Office or Department of Housing and Urban Development may prescribe.

Whenever the contractor or subcontractor has a collective bargaining agreement or other contract or understanding with a labor union or an agency referring workers, the Compliance Report shall include such information as to such labor union's or agency's practices and policies affecting compliance as the City's contract Compliance Officer may prescribe: Provided, that to the extent such information is within the exclusive possession of a labor union or an agency shall so certify to the City's Contract Compliance Officer as part of his/her Compliance Report, and shall set forth what efforts he/she has made to obtain such information.

The City's Contract Compliance Officer may direct that any bidder or prospective contractor or subcontractor shall submit as part of his Compliance Report, a statement, in writing, signed by an authorized officer or agent on behalf of any labor union or any agency referring workers or providing or supervising apprenticeship or other training, with which the bidder or prospective contractor deals with supporting information, to the effect that the signer's practices and policies do not discriminate on the grounds of race, creed, color, age, sex, national origin or physical or mental handicap, religion, sexual orientation and that the signer either will affirmatively cooperate in the implementation of the policy and provisions of this Fair Employment Practice clause directive or that it consents and agrees that recruitment, employment and the terms and conditions of employment under the proposed contract shall be in accordance with the purposes and provisions of this Fair Employment Practice clause. In the event that the union or the agency shall refuse to execute such a statement, the Compliance Report shall so certify and set such a statement, the Compliance Report shall so certify and set such additional factual material as the Human Relations Office or the Purchasing Department may require.

2. The prime contractor shall be responsible for the proper submission to the City of Hartford, of proof or documentation as to the compliance of all subcontractors, all labor referral organizations, and all vendors of construction materials who participate upon the projects subject to the "Greater Hartford Affirmative Action Plan".

### **Procedures for Noncompliance**

1. Whenever a contractor has signed and is a party to a contract containing the above affirmative action provisions, a breach of those provisions constitutes a breach of the contract, and the contractors will be subject to those reviews, penalties, and appeals as prescribed by "Chapter 2, Article XII" (Compliance) 2-687 et. seg. Such penalties may include the cancellation, termination, suspension, or withholding of payments due the contractor. The contractor or organization may appeal the finding of noncompliance to the Contract Enforcement Committee within ten (10) days from the date of such notification.

## INSTRUCTIONS FOR FILING MONTHLY UTILIZATION REPORT

On each and every construction project, contractors are required to demonstrate “good faith effort” in hiring minorities and women into their work force.

The following definitions are considered appropriate for use in reporting construction contractor employment of crafts persons:

1. Recall or Rehire - (after a seasonal shutdown) - a craftsperson who worked for a contractor the previous construction season and who is recalled for work by the same contractor when the same project commences in the next construction season.
2. Transfer - A craftsperson who works for a contractor and who moves from project to project working for the same contractor. Employment would tend to be continuous; transfers to other projects would be based upon workload requirements; and periods of unemployment would be due to vacation or seasonal shutdown.
3. New Hire -
  - a. A person working for a contractor for the first time (regardless of previous work experience with another contractor).
  - b. Each employee referral from a union or hiring hall in response to a request by the contractor. In this case, the employee might have worked for the contractor on previous projects. However, he has worked for other contractors in the interim, or has been unemployed for three months or more during the active construction season.

The above definitions would be applied as follows:

- A. Normally, foreman, supervisors, superintendents and management officials are considered permanent employees. They are usually salaried and represent company management. They are usually not referred by unions nor are they hired for particular projects.
  - B. The contractor may make a name request and these can take priority (even if the employee is on another job; decision to accept is up to the employee). A specific request for a minority can be made at any time. A request for a non minority can only be made if the contractor can demonstrate proper representation and affirmative action with his current work force.
  - C. It should be noted that if the employee has been employed by other contractors between jobs or during the seasonal shutdown, the employee has thus had a break in continuous employment with one contractor and any decision to employ him/her would be a new hire.
4. Hartford Residency Hours - The total number of hours worked by employees who are residents of Hartford for each trade classification.
  5. Hartford Residency Summary - Total number of employees working in all trade classifications during the reporting period.  
Total number of Hartford residents working in all trade classifications during the reporting period.

### Special Note:

**In job classifications where minority and/or female utilization is not being achieved, it will be necessary for the contractor to fully document and substantiate, in accordance with the applicable definition, employees in the affected job classification(s) claim as transfers or recalls. Failure to provide such documentation may result in the scheduling of a full scale E.E.O. compliance review.**

List of Trades

Trade Title	Trade Title
Steamfitters	Asbestos Workers/Insulators
Teamsters	Operating Engineers
Caulkers	Carpenters
Laborers	Latherers
Tile Finishers	Tile Setters
Theatrical Equipment Installers	Masons
Sprinkler Fitters	Electricians
Plumbers	Glaziers
Roofers	Iron Workers
Sheet Metal Workers	Elevator Constructors
Tapers	Painters
Plasterers	

MONTHLY UTILIZATION REPORT

Report For:

This report is to be submitted to the City of Hartford’s Office of Human Relations by each contractor and covered subcontractor monthly, by the 10<sup>th</sup> of each month following the reporting period. The statistics to be recorded are those which represent your workforce on board during the entire month. Complete this report utilizing the certified payrolls & attach them. When no work is performed for the month, please indicate such.

Firm & Address			Contract #		Location		<a href="#">Start Date This Season</a>								% Completed				Contract Amount						
Telephone # _____ Fax # _____			Federal #																						
Employment Data			Work Hours of Employment											Enter # of Total Employment						New Hires for Month					
Occupation  Please see instructions for list of trades	Union Local No.	Classification	Total Employees Hours		Black Hours		Hispanic Hours		American Indian Hours		Asian Hours		Min. % Total Work Hours		All Employees		Minority Employees		Hartford Residents Hours						
			M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F		F	BM	HM	AIM /A		
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							
		Craft Worker																							
		Apprentice																							
		Trainee																							

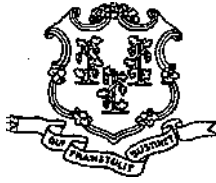
# Payroll Certification Form

IN ACCORDANCE WITH CONNECTICUT GENERAL STATUTES,  
31-53 CERTIFIED PAYROLLS WITH A STATEMENT OF COMPLIANCE  
SHALL BE SUBMITTED WEEKLY TO THE CONTRACTING AGENCY

Contractor Name and Address:										Subcontractor Name & Address					Worker's Compensation Insurance Carrier							
Telephone Number: _____ Fax Number: _____										Telephone #: _____ Fax # _____					Policy Number: _____							
Contact Person: _____															Effective Date: _____							
Payroll Number			Week Ending Date		Project Name & Address					Contact Person: _____					Expiration Date: _____							
					Contract #																	
Employee Name/Address & Social Security #	# of Exemptions	APPR Rate %	Sex & Race	Work Classification	S	M	T	W	T	F	S	S-Time O-Time	Base Hourly Rate	Total Fringe C= Cash P= Plan	Gross Pay For All Work Performed this Week	FICA	With-holding	With-holding	Other	Gross Pay Prevailing Wage Rate Jobs	Net Pay	Check
					Hours Work Each Date																	
					S	M	T	W	T	F	S			c								
														p								
														c								
														p								
														c								
														p								
														c								
														p								
														c								
														p								

See Reverse Side

Page \_\_\_\_ Of \_\_\_\_



# STATE OF CONNECTICUT

## DEPARTMENT OF TRANSPORTATION

2800 BERLIN TURNPIKE, P.O. BOX 317546  
NEWINGTON, CONNECTICUT 06131-7546



### Disadvantage Business Enterprises as Subcontractors for Federal and/or State Funded Projects

Project Description & Number: \_\_\_\_\_

**PRIME CONSULTANT**

Firm Name: \_\_\_\_\_

Street: \_\_\_\_\_

City/State: \_\_\_\_\_

**DBE CONSULTANT**

Firm Name: \_\_\_\_\_

Street: \_\_\_\_\_

City/State: \_\_\_\_\_

The following is a description of the project functions the above DBE will perform  
on the subject project which represents a total dollar amount of \$ \_\_\_\_\_

The contractor is required, should there be a change in the originally named DBE's to submit documentation to the initiating unit to substantiate and justify the change, i.e. documentation to provide a basis for the change for review and approval by the CONNDOT officials prior to the implementation of the change. The contractor must demonstrate that the originally named DBE is unable to perform in conformity to specifications, unwilling to perform, is in default of its agreement, is overextended on other jobs, etc.

We, the below signed, do hereby certify and concur with the above stated conditions.

**PRIME CONSULTANT**

Name: \_\_\_\_\_

Signature

Date: \_\_\_\_\_

Name Typed: \_\_\_\_\_

Title: \_\_\_\_\_

**DBE CONSULTANT**

Name: \_\_\_\_\_

Signature

Date: \_\_\_\_\_

Name Typed: \_\_\_\_\_

Title: \_\_\_\_\_